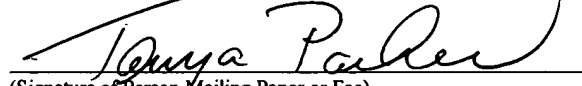


**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450, on April 2, 2004

Tanya Parker

(Typed or Printed Name of Person Mailing Paper or Fee)

  
(Signature of Person Mailing Paper or Fee)

**Attorney Docket No.: SUN-P9705**

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97**

**Inventor:** Robert J. Drost, et al.  
**Title:** OPTICAL COMMUNICATION BETWEEN FACE-TO-FACE SEMICONDUCTOR CHIPS  
**Filing Date:** April 2, 2004  
**Serial Number:** To Be Assigned  
**Group Art Unit:** To Be Assigned  
**Examiner:** To Be Assigned

Listed below or on an attached Form PTO-1449 is information known to applicant(s) and submitted pursuant to 37 C.F.R. §1.56. A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

X This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

- X (1) It is being filed within 3 months of the application filing date  
-- OR --  
— (2) It is being filed within 3 months of entry of a national stage  
-- OR --  
— (3) It is being filed before the mail date of the first Office Action on the merits.

— 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

— a certification as specified in §1.97(e) is provided below; or

— a fee of \$240.00 as set forth in 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement. Please note that a check in the amount of \$240.00 is enclosed in payment.

— 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; and

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

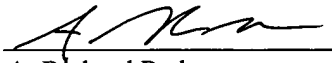
— This statement is being filed after the payment of the issue fee but before issuance of the patent.

— Statement under 37 C.F.R. 1.97(e) - I hereby certify that either: each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the information disclosure statement; or no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement.

Signature: \_\_\_\_\_  
A. Richard Park (Reg. No. 41,241)

Date

Respectfully submitted,

By:   
A. Richard Park  
Reg. No. 41,241

PARK, VAUGHAN & FLEMING LLP  
508 Second Street, Suite 201  
Davis, CA 95616  
(530) 759-1661  
Date: April 2, 2004

## SHEET 1 OF 1

<b>INFORMATION DISCLOSURE CITATION</b>  PTO-1449				ATTY. DOCKET NO. SUN-P9705		APPLICATION NO. To Be Assigned	
				APPLICANT Robert J. Drost, et al.			
				FILING DATE April 2, 2004		GROUP ART UNIT To Be Assigned	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
Publication entitled "Optical Receivers for Optoelectronic VLSI" by Ted K. Woodward et al., IEEE Journal of Selected Topics in Quantum Electronics, Vol. 2. No. 1, April 1996, pgs. 106 – 116.							
Publication entitled "16 x 16 VCSEL Array Flip-Chip Bonded to CMOS VLSI Circuit", by A.V. Krishnamoorthy et al., IEEE Photonics Technology Letters, Vol. 12, No. 8, August 2000, pgs. 1073 – 1075.							
EXAMINER				DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.